

Memorandum

Date: January 9, 2009

To: Nimitz Inspection Facility

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Nimitz Inspection Facility

File No.: 347.14968.09

Subject: CHAPTER 5 INSPECTION

On January 9, 2009, I conducted a Chapter 5 Inspection of the Nimitz Inspection Facility Office Management in accordance with HPG 22.1. A copy of the CHP 453E evaluation is attached to this memo.


E. DELA CRUZ, #14968
Sergeant

Attachment:

Safety, Service, and Security

AREA 347	DIVISION Golden Gate	NUMBER
EVALUATED BY Sergeant Dela Cruz I.D. 14968		DATE 01/07/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW DATE

1. CLERICAL TASKS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

☐ Yes ☒ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a good example?

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☐ Yes ☒ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No

(1) How far back are accident reports being maintained? 3 Years plus current.

(2) Is there a filing backlog? ☐ Yes ☒ No

(3) Is there evidence of recent office review? ☐ Yes ☒ No

(4) How are Management and All Commanders Memorandums filed and purged? Filed: Locked Cabinet/Purge: Shredded

(5) Are Training and Information Bulletins filed? ☒ Yes ☐ No

(a) If so, how are they located? They are in a binder in the clerical office.

(6) Do all clerical employees understand the filing system? ☒ Yes ☐ No

(7) Does the Area have an effective suspense system? ☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No

c. Are personnel files properly secured and access limited? ☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No

(2) Is a periodic review done on a regular basis? ☒ Yes ☐ No

(a) If so, how often?

(3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No

(4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☒ Yes ☐ No

(1) Has the Area designated a specific person to release criminal offender record information? N/A ☐ Yes ☐ No

(a) Do any other persons release this information? N/A ☐ Yes ☐ No

(b) Has the designated person completed the required training? N/A ☐ Yes ☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure? N/A ☐ Yes ☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? N/A ☐ Yes ☐ No

(a) Are entries maintained for the prescribed period of time? N/A ☐ Yes ☐ No

4. FISCAL PROCEDURES	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Have discrepancies on the most current audit reports been corrected? ☐ Yes ☐ No

Destroy Previous Editions

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?			
(h) Is a supervisor responsible for review of the system?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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AREA MANAGEMENT EVALUATION
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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? N/A

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? N/A ☐ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? N/A ☐ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? N/A ☐ Yes ☐ No

(4) Do tire sale transactions comply with policy? N/A ☐ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☐ Yes ☒ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them?

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Quarterly Cleaning

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

STATE OF CALIFORNIA
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AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
7. OFFICE EQUIPMENT	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	
a. Are office machines in good condition and properly maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Is the vendor complying with maintenance contract provisions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is there a shortage or surplus of machines?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b. Is the Management Information System (MIS) used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment? Only authorized personnel.			
(2) How is training provided, and by whom? Training is provided by the Area LAN Coordinator and the Supervisors.			
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Are there controls in place to ensure confidentiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Are all personnel aware of how to request repairs after normal business hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(7) What system is used to ensure proper routing of MIS information? Departmental manuals			
c. Are personal computers used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment? Trained personnel			
(2) How is training provided, and by whom? Training is provided by the Area LAN Coordinator and the Supervisors.			
(a) How many employees are trained in its use? All employees			
(3) Are there restrictions on the time its used?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(a) Is there a schedule for uniformed and nonuniformed employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Is confidential or sensitive information being stored on a PC hard drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(a) If so, is the PC password protected?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) What is the PC being used for? Official business.			
(6) Are controls present to prevent inappropriate/personal use of the computer?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

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(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged?	Annual review of documents for purging.	

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	
a. Does the office have extended office hours?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) If so, are they adequate and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are persons served promptly and courteously?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are backup personnel immediately available?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is telephone service both efficient and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are limited duty personnel used for receptionist duties and answering telephones?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are officer substitutions for nonuniformed positions kept at a minimum?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED	ACTION REQUIRED	CORRECTED
	N/A		
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?			
(1) Are tests and test keys kept in a secure place?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) How are interested parties advised of testing procedures?			

(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) How are test disposed of?		

(4) Is there a specific date and time set aside for testing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
10. COURT INFORMATION PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

(1) What controls are in place to ensure officers appear in court? The officers are served subpoenas by the supervisors. The subpoenas are logged by clerical staff. Supervisor's review daily roll sheet.

(a) How are appearances minimized following cancellations? Cancellation notice served by Sergeant's and also by email.

(b) How are "short notice" cancellations minimized? When it becomes apparent the number of short notice cancellations are on the rise, contact to the District Attorney's office is made to determine what the cause might be and how to minimize the short notice cancellations.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? The subpoena clerk.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees?

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OSS Evangelista.

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA <i>SAN JOSE</i>	DIVISION <i>GOLDEN GATE</i>	NUMBER
EVALUATED BY <i>M. KANDRELLA</i>		DATE <i>8-14-08</i>

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initiated and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input type="checkbox"/> No		COMMANDER'S REVIEW	DATE
BY		EVALUATED <i>7-17-08</i>	ACTION REQUIRED
			CORRECTED

1. CLERICAL TASKS

a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

SCP

☒ Yes ☒ No

(a) Does clerical staff have their job description at their desk?

☐ Yes ☒ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

CONFIDENTIAL - 21

☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a good example?

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

LIVESCAN

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

HP's. 11.1

2. FILING SYSTEM

EVALUATED

8-14-08

ACTION REQUIRED

CORRECTED

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? 180° FILED BY LETTER

☒ Yes

☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?

☒ Yes

☐ No

(1) How far back are accident reports being maintained?

4 yrs + CURRENT

(2) Is there a filing backlog?

☐ Yes

☒ No

(3) Is there evidence of recent office review?

☐ Yes

☒ No

(4) How are Management and All Commanders Memorandums filed and purged? NO

(5) Are Training and Information Bulletins filed?

☒ Yes

☐ No

(a) If so, how are they located?

FILED FOR 3 yrs

(6) Do all clerical employees understand the filing system?

☒ Yes

☐ No

(7) Does the Area have an effective suspense system?

☒ Yes

☐ No

(a) Do all supervisors take advantage of the suspense system?

☒ Yes

☐ No

c. Are personnel files properly secured and access limited?

☒ Yes

☐ No

(1) Are the requirements of the Information Practices Act being followed?

☒ Yes

☐ No

(2) Is a periodic review done on a regular basis?

OFD SUPERVISOR

☒ Yes

☐ No

(a) If so, how often?

MONTHLY

(3) Is annual employee review and updating conducted as required?

☒ Yes

☐ No

(4) Are only required or permitted items contained in personnel folders?

☒ Yes

☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED

8-14-08

ACTION REQUIRED

NO

CORRECTED

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?

☒ Yes

☐ No

(1) Has the Area designated a specific person to release criminal offender record information? WHO?

☒ Yes

☐ No

(a) Do any other persons release this information?

☒ Yes

☐ No

(b) Has the designated person completed the required training?

☒ Yes

☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure?

☒ Yes

☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?

☒ Yes

☐ No

(a) Are entries maintained for the prescribed period of time?

☒ Yes

☐ No

4. FISCAL PROCEDURES

EVALUATED

8-14-08

ACTION REQUIRED

CORRECTED

a. Have discrepancies on the most current audit reports been corrected?

☒ Yes

☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy? ☒ Yes ☐ No

(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded? ☒ Yes ☐ No

(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? ☒ Yes ☐ No

(c) Is there a separation of duties between cashier responsibilities and transmittal of collections? *SUE SMITH* ☒ Yes ☐ No

(d) Are collections and change funds safeguarded? ☒ Yes ☐ No

(e) Are checks promptly endorsed and cash receipts reconciled daily? *NEWITA LINSBO* ☒ Yes ☐ No

(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? ☒ Yes ☐ No

(g) What specific guidelines are in place for security control and accountability?

(h) Is a supervisor responsible for review of the system? *ADMIN SGT.* ☒ Yes ☐ No

(i) Do total collections agree with the total amount of counter receipts and DL45s issued? ☒ Yes ☐ No

(j) Are counter receipts and transmittal records prepared properly? ☒ Yes ☐ No

(k) Are surprise counts of funds performed and documented by the commander or designee? *LT BOICE* ☒ Yes ☐ No

(2) Are security and accountability procedures in place for the petty cash fund? ☒ Yes ☐ No

(a) Is the petty cash fund used only for authorized purchases within the limited amount? ☒ Yes ☐ No

(b) Are valid authorizations on file? ☒ Yes ☐ No

(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? *ALL RECEIPTS HAVE VENDOR NAME* ☐ Yes ☒ No

(d) Are there adequate procedures to ensure purchases are properly authorized? ☒ Yes ☐ No

(e) Are surprise counts performed by someone not involved in handling the petty cash fund? *LT BOICE* ☒ Yes ☐ No

(3) Are X-Number services proper and within departmental and state policy? ☒ Yes ☐ No

(a) Are services procured over \$4,999.99? ☐ Yes ☒ No

(b) Is the amount limit circumvented by splitting procurements? ☐ Yes ☒ No

(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request? ☒ Yes ☐ No

(d) Do invoices itemize charges and reference X-Numbers? ☒ Yes ☐ No

(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor? *COMP ANDER* ☒ Yes ☐ No

(a) Are cardholders familiar with the bank card process, including prohibited and restricted items? ☒ Yes ☐ No

(b) Are purchases within established policy? ☒ Yes ☐ No

(c) Are three price quotations obtained and documented on a CHP 315X? ☒ Yes ☐ No

(d) Is the bank card log completed properly? ☒ Yes ☐ No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes

☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes

☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies?

MONIES TURNED

IN DAILY. SENT TO CASHIERING WEEKLY

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections/or at the close of business each Thursday?

☒ Yes

☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes

☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes

☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes

☐ No

c. Is security of the postage machine adequate?

CODE

☒ Yes

☐ No

(1) Is the machine locked when not in use?

PASS CODE

☒ Yes

☐ No

(2) Is the meter reading documented as required?

☒ Yes

☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☒ Yes

☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED

7-18-08

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly?

☒ Yes

☐ No

(1) Who prepares them?

CHP 41 FORM DISTRIBUTED TO END OF SUPPLY OFF.
CATHY TSUDA COMPLETES TOTALS + SUBMITTALS

(2) Has a practical stock level been established and maintained?

☒ Yes

☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

SUPPLY OFF.
NOTIFIES

☒ Yes

☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes

☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes

☒ No

b. Are items stored properly in a storeroom?

☒ Yes

☐ No

(1) Is there convenient access for regularly used items?

SUPPLY ROOM LOCKED AFTER 2:30 PM.
SGT'S HAVE KEYS.

☒ Yes

☐ No

(2) Have obsolete items been removed?

☒ Yes

☐ No

6. SUPPLIES

EVALUATED

7-18-08

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for?

☐ Yes

☒ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes

☐ No

(2) Is camera maintenance assigned to a particular individual?

SUPPLY OFFICER

☒ Yes

☐ No

(a) What is his/her preventative maintenance schedule?

CHECKED ONCE A MONTH BY SUPPLY OFFICER

b. Are all extenders assigned to the command accounted for?

☒ Yes

☐ No

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OFFICE MANAGEMENT

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		EVALUATED	ACTION REQUIRED	CORRECTED
(1) Is there adequate security for extender batteries and other supplies?			LOCKERS IN SUPPLY ROOM	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. OFFICE EQUIPMENT		8-20-08		
a. Are office machines in good condition and properly maintained?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment?		(UNIFORMED) OFFICERS, CLERICAL, ZENP		
(2) How is training provided, and by whom?		COUNCIL CLASS GIVEN BY TRAINED UNIFORMED PERSONNEL, CLERICAL CLASS, ETC.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?		CRIMINAL HISTORY LOG <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Are there controls in place to ensure confidentiality?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Are all personnel aware of how to request repairs after normal business hours?		E-MAIL TO LAN <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(7) What system is used to ensure proper routing of MIS information?				
c. Are personal computers used properly?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Who is authorized to use the equipment?		COMPUTER OWNER		
(2) How is training provided, and by whom?		DFO. TRITENBACH		
(a) How many employees are trained in its use?		NONE		
(3) Are there restrictions on the time its used?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(a) Is there a schedule for uniformed and nonuniformed employees?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Is confidential or sensitive information being stored on a PC hard drive?		SEPIEL <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(a) If so, is the PC password protected?		ENCRYPTION <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) What is the PC being used for?		X/A		
(6) Are controls present to prevent inappropriate/personal use of the computer?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? *HPM 11.1 CHAPTER 11*

HPM - RANBY 11.1 (10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? *MACAFEE* ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED	ACTION REQUIRED	CORRECTED
<i>7-17-08</i>		

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? *N/A* ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED	ACTION REQUIRED	CORRECTED
<i>7-17-08</i>	<i>NO</i>	

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? *SCHOOL BUS COORDINATOR*

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? *RESULTS ARE LOGGED THEN ALL TESTS ARE*

SHREDDEN.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED	ACTION REQUIRED	CORRECTED
<i>8-7-08</i>		

a. Is there a systematic method of coordinating court appearance matters? *SUBJECT MATTER LOGGED IN COMPUTER* ☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? AREA NOTIFIED IN WRITING BY COURT
IF / WHEN USE NO SHOW.

(a) How are appearances minimized following cancellations? AREA COURT CANCELLATION FORM GIVEN
TO OFF BY COURT CLERK. SHORT NOTICE - FORM GIVEN BY CLERK OR
TELEPHONES (CEL)

(b) How are "short notice" cancellations minimized? CANCELLATION FORM GIVEN
OR PHONE CALL.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? FORM 90 ATTACHED TO SUBPOENA / LOGGED IN COMPUTER ☒ Yes ☐ No

(3) Who is responsible for managing the process? SUE SMITH COURT CLERK BETHLEHEM

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

7-17-08

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? LT'S OFFICE CLERICAL SUPV SGT'S OFF ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? UNL

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT

(b) Is there a listing available of what should be in each library? ON-LINE INDEX ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? JUDICIAL SGT UPDATES SGT'S LIBRARY